



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/668,741	09/25/2000	Takashi Sawaguchi	PM 273965 P8412

Pillsbury Madison & Sutro LLP  
Intellectual Property Group  
Ninth Floor  
1100 New York Avenue NW  
Washington, DC 20005-3918



## FORMALITIES LETTER



\*OC000000005521151\*

Date Mailed: 10/31/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$108.
  - \$108 for 6 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 928.

01/03/2001 MAILING 00000011 09668741

01 FC:201  
02 FC:203  
03 FC:205

355.00 OP  
54.00 OP  
65.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT  
APPLICATION**COMPLETION Under**  
Rule 53(f)In re PATENT APPLICATION of

Inventor(s): SAWAGUCHI, Takashi

Attn: Application Division

Appln. No.:

09

668,741

Atty.Dkt.

PM

273965

P8412

Series Code ↑

Serial No. ↑

M#

Client Ref

Filed: September 25, 2000

Title: PORTABLE PERSONAL AUTHENTICATION APPARATUS AND ELECTRONIC SYSTEM TO WHICH  
ACCESS IS PERMITTED BY THE SAMEHon. Commissioner of Patents  
Washington, DC 20231

Date: December 29, 2000

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☒ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. #  pages of Specification (only spec. & claims)
- c. ☐ Drawing(s)  No of Sheets
- ☐ Fig(s).

4. ☐ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN

Application No.	Filing Date	Application No.	Filing Date
(1) 11-271022	September 24, 1999	(2)	
(3)		(4)	
(5)		(6)	

9. 1 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. 1 filed on \_\_\_\_\_

10. Small Entity Status ☐ is Not claimed ☒ is claimed (file PAT-256 if this is the first claim of Small Entity Status)

11. ☐ Attached:

12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee .....				Design Application	\$320/\$160	106/26
				Not Design Application	\$710/\$355	101/201
14. Total Effective Claims	26	minus 20 =	6	x \$18/\$9	+54	103/203
15. Independent Claims	1	minus 3 =	0	x \$80/\$40	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$270/\$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	65	105/205
18. FILING FEE ENCLOSED =					474	
19. <u>Original due date:</u> December 31, 2000						
20. <u>Petition is hereby made</u> to extend the <u>original</u> due date to				(1 mo)	\$110/\$55 =	+0
cover the date this response is filed for which the requisite fee				(2mos)	\$390/\$195 =	115/215
is attached				(3mos)	\$890/\$445 =	116/216
				(4mos)	\$1390/\$695 =	117/217
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....					\$130	+0
22. If "assignment" box 5 is X'd, add recording fee .....					\$40	+40
23. Petition Fee for					\$130	+0
24. TOTAL FEE ENCLOSED =					\$514	

Our Deposit Account No. 03-3975

Our Order No. 40913

273965

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Madison & Sutro LLP**  
**Intellectual Property Group**

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Atty/Sec: GJP/TNL

By Atty: Glenn J. Perry

Reg. No. 28458

Sig: [Signature]

Fax: (202) 822-0944  
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**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT  
APPLICATION

Inventor(s): SAWAGUCHI, Takashi  
Appln. No.: 09 | 668,741  
Series Code ↑ | Serial No. ↑

Filed: September 25, 2000

Hon. Commissioner of Patents  
Washington, D.C. 20231

Sir:

Group Art Unit 2131  
Examiner: Unknown  
Atty. Dkt. PM 273965 | P8412  
M# | Client Ref  
Appln. Title: PORTABLE PERSONAL  
AUTHENTICATION APPARATUS  
AND ELECTRONIC SYSTEM TO  
WHICH ACCESS IS PERMITTED  
BY THE SAME

Date: December 29, 2000

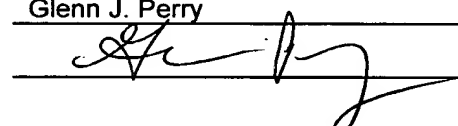
**NOTIFICATION OF CHANGE IN SMALL/LARGE ENTITY STATUS**

Please note the following change to/from Small Entity Status:

- ☒ **CLAIMED NOW**: Applicant hereby claims Small Entity Status  
☐ **WITHDRAWN NOW**: Applicant hereby withdraws Small Entity Status

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Respectfully Submitted  
Pillsbury Madison & Sutro LLP  
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